

Transfers

Overview

This section will discuss voluntary and involuntary transfers. The following table depicts the topics covered in this section.

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Voluntary Transfer

Policy

The DGS encourages its staff to consider voluntary transfers within the appropriate legal and policy requirements. Voluntary transfers provide:

- An essential and useful element of flexibility within the civil service process
 - Allow DGS management to utilize effectively employees in a variety of settings
 - Provide employees with significant opportunities to develop and diversify their skills, obtain the type or location of position they prefer
 - Meet many other needs
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Definition

A voluntary transfer is:

- The movement of an employee from one position to another position in the same class, under the same or another appointing power, is defined as a "lateral transfer," or
 - The movement of an employee to a position in a different class that has substantially the same level of duties, responsibility and salary , is defined as a "transfer"
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Explanation

- Transfers are discretionary on the part of management
 - Either voluntary or involuntary on the part of the employee
 - Do not require competition in a new civil service examination since the employee's present status is presumed qualifying for status in the new class
 - Must meet the publication and screening standards contained in SPB Rule 444
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Voluntary Transfer, Continued

Process

The following table depicts the transfer process.

Stage	Description
1	DGS office or client agency determines need for transfer to fill a position
2	Classification and Pay (C&P) Analyst evaluates appropriateness of transfer using established laws, rules and policies
3	All voluntary transfers are with the consent of both the DGS or client agency and the employee

Procedure

The Personnel Management Policy and Procedures Manual (PMPPM) Section 315 MUST be referred to by the Classification and Pay (C&P) Analyst for an in-depth discussion for application of the SPB Rules. Failure to do so may result in an illegal appointment.

The following table depicts the transfer procedure.

Step	Action
1	The personnel liaison (PL) submits a completed Request for Personnel Action (RPA) to the Classification and Pay (C&P) Analyst
2	Upon employee selection, the PL provides the C&P Analyst via email or the Employment Eligibility Verification Request and Worksheet : <ul style="list-style-type: none">• Employee's name• Employees social security number (not by email or form)• Classification to which employee is potentially moving, if different from class identified on RPA
3	The C&P Analyst determines employee' highest list appointment (A01) by accessing employee's employment history through: <ul style="list-style-type: none">• ABMS (if DGS employee), and/or• PIMS (SCO data base), and/or• SPB (list eligibility) and/or• DPA (computation of salary movement)• Contacting employee's current employer (DGS office or other department)
4	C&P Analyst computes class movement salary either <ul style="list-style-type: none">• manually (see Attachment 2)• using the "Compute Class Movement Salaries" on PIE located at www.dpa.ca.gov (see Attachments 3-5)

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Voluntary Transfer, Continued

Procedure (continued)

Step	Action
5	C&P Analyst determines if the transfer is appropriate by applying SPB Rules.
6	C&P Analyst forwards RPA to Personnel Specialist (PS) for processing

SPB Rule application

Using the PMPPM, the C&P Analyst complies with the following rules:

- Rule 431 - Measuring Salary Level Difference
 - Rule 432 - Definition of class series
 - Rule 433 - Voluntary Transfer Between Classes
 - Rule 435 - Consecutive Transfer
 - Rule 425 - Transfer to Another Agency
 - Rule 444 - Publication and Screening Standards for Transfers
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Involuntary Transfer

Policy The DGS, with regard to involuntary transfer, must meet the general transfer criteria and protect the employee's career advancement opportunities, status, rights, and salary. The DGS endeavors to strike an appropriate balance between the interests of management and the employee.

Definition An involuntary transfer is:

- Movement of an employee **without** his/her consent to a different classification or work location

Explanation

- Movement may be due to anticipated layoffs; changes in office function, reorganization, or location; budgetary considerations
- Are management initiated

Process The following table depicts the involuntary process.

Stage	Description
1	DGS office or client agency determines the need for involuntary transfer and which employee(s) shall be transferred (employees are selected based on location, classification and seniority)
2	C&P Analyst evaluates appropriateness of transfer using established laws, rules and policies
3	Employee(s) is notified, in writing, of transfer
4	Employee(s) report to new location, classification

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Involuntary Transfer, Continued

Procedure **The Personnel Management Policy and Procedures Manual (PMPPM) Section 315 MUST be referred to by the Classification and Pay (C&P) Analyst for an in-depth discussion for application of the SPB Rules.**

The following table depicts the involuntary transfer procedure.

Step	Action				
1	The personnel liaison (PL) submits a completed Request for Personnel Action (RPA) to the Classification and Pay (C&P) Analyst				
2	The C&P Analyst determines employee' highest list appointment (A01) by accessing employee's employment history through: <ul style="list-style-type: none">• ABMS (if DGS employee), and/or• PIMS (SCO data base), and/or				
3	C&P Analyst computes class movement salary either <ul style="list-style-type: none">• manually (see Attachment 2)• using the "Compute Class Movement Salaries" on PIE located at www.dpa.ca.gov (see Attachments 3-5)				
4	C&P Analyst determines if the involuntary transfer is appropriate by applying SPB Rules <table><tr><th>If</th><th>Then</th></tr><tr><td>Change in class</td><td><ul style="list-style-type: none">• salary range at least equal to current class (no salary loss shall be permitted)• career advancement opportunities should not be unreasonably stifled• new class must be in the same or in a reasonably comparable occupational group• moving should not involve radical change in working conditions• level of duties and responsibilities, selection requirements, required experience, license requirements, etc., for new class must be reasonably related to those of old class• afford the employee reasonable expectations of job success• must not be to accomplish an adverse action• may not affect the employee's rights in an impending layoff• notified, in writing, 30 days prior to effective date of involuntary transfer including consequence of not reporting (AWOL, separation)</td></tr></table>	If	Then	Change in class	<ul style="list-style-type: none">• salary range at least equal to current class (no salary loss shall be permitted)• career advancement opportunities should not be unreasonably stifled• new class must be in the same or in a reasonably comparable occupational group• moving should not involve radical change in working conditions• level of duties and responsibilities, selection requirements, required experience, license requirements, etc., for new class must be reasonably related to those of old class• afford the employee reasonable expectations of job success• must not be to accomplish an adverse action• may not affect the employee's rights in an impending layoff• notified, in writing, 30 days prior to effective date of involuntary transfer including consequence of not reporting (AWOL, separation)
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Involuntary Transfer, Continued

Procedure (continued)

Step	Action						
4	<div>Step 4 continued below</div> <table><tr><th>If</th><th>Then</th></tr><tr><td>Change in residence</td><td><ul style="list-style-type: none">Employee receives written notice 60 days prior to effective date of transfer including forms to be completed, monetary reimbursement limits, appeal rights, etc.</td></tr><tr><td>If employee does not accept involuntary transfer</td><td><ul style="list-style-type: none">Employee responsible for locating alternate positionIf alternate position not located prior to effective date of involuntary transfer, employee separated</td></tr></table>	If	Then	Change in residence	<ul style="list-style-type: none">Employee receives written notice 60 days prior to effective date of transfer including forms to be completed, monetary reimbursement limits, appeal rights, etc.	If employee does not accept involuntary transfer	<ul style="list-style-type: none">Employee responsible for locating alternate positionIf alternate position not located prior to effective date of involuntary transfer, employee separated
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Change in residence	<ul style="list-style-type: none">Employee receives written notice 60 days prior to effective date of transfer including forms to be completed, monetary reimbursement limits, appeal rights, etc.						
If employee does not accept involuntary transfer	<ul style="list-style-type: none">Employee responsible for locating alternate positionIf alternate position not located prior to effective date of involuntary transfer, employee separated						
5	C&P Analyst forwards RPA to PS for processing						

SPB Rule application

Using the PMPPM, the C&P Analyst complies with the following rules:

- Rule 431 - Measuring Salary Level Difference
- Rule 432 - Definition of class series
- Rule 434 - Involuntary Transfer Between Classes
- Rule 435 - Consecutive Transfer

Consecutive Transfers Involving Deep Classifications

Rule 435

In general, Rule 435 prohibits single or consecutive transfers that result in classification-level increases equivalent to two or more salary steps. This is to ensure adherence to the basic principle that promotions in civil service must occur through competitive examinations. However, when an employee transfers to a deep classification, subsequent range advancements within the deep classification may move the employee to a salary level that is two steps or more higher than the pay level of the last classification in which the employee held a list appointment. Even though this occurs the employee should still be allowed to transfer out of the deep classification to other classifications that are exactly at or below the pay level reached in the deep classification, since by providing a deep classification the SPB has sanctioned movement to that level by meeting alternate range criteria, rather than be examination. However, further advancement cannot be allowed without a list appointment, except that the employee may transfer to a classification to which s/he could have transferred directly from his/her last or highest list appointment classification.

Summary

In summary, a consecutive transfer involving a deep classification is appropriate when:

1. the employee could have transferred into the “to” classification from the classification of his/her last or highest list appointment.

For example: An employee with a list appointment to Management Services Technician who progresses to Range B of that classification, transfers to Staff Services Analyst, Range A, then progresses through Range B, to Range C, could later transfer to Range B of Park and Recreation Specialist, even though Range C of that classification is three steps higher than the maximum range of Staff Services Analyst. This permissible because the employee could have transferred to the Park and Recreation Specialist, Range from the last or highest list appointment classification, Management Services Technician.

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Consecutive Transfers Involving Deep Classifications, Continued

Summary (continued)

2. The highest range of the “from” classification is equal to or higher than the highest range of the “to” classification in which the employee gains permanent status.

For example: An employee who transfers to Staff Services Analyst Range A, progresses through Range B, to Range C, could later transfer to any classification with a maximum salary range of Staff Services Analyst, Range C or lower. This would include classifications such as Highway Administrative Officer I and Business Services Officer I. However, it would not include such classifications as Land and Water Use Analyst or Senior Group Supervisor.

It is important to note that these special controls apply only to subsequent transfers of employees who have transferred into a deep classification. Employees with list appointments to deep classifications may transfer out based on the regular standards outlined in Rule 433.

Office Assistant to Program Technician

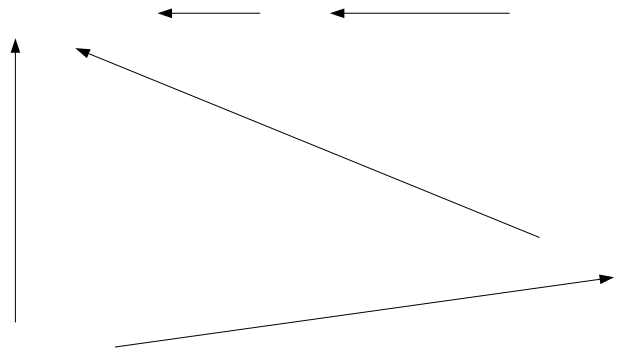
Office Assistant to Program Technician

Although the Office Assistant (OA) salary is within transfer range of the Program Technician (PT), the OA is mentioned in the minimum qualifications for the Program Technician series. Therefore, a promotional relationship exists between the two classifications and movement between the two must be by examination only.

Transfer between PT and Office Technician

The transfer between PT and Office Technician (OT) is discretionary by the DGS, per the State Personnel Board (SPB) Policy Unit. Subsequently, once an employee is at the PT level, a lateral transfer is allowable to the OT classification. However, once an employee is at the OT level, it is **not** permissible to laterally transfer to the PT II classification. Since PT and PT II are in the same promotional path, the transfer is not allowed.

However, if an employee has moved by list appointment from the PT to the PT II classification, the employee **can** laterally transfer to the OT classification. The chart below will more clearly illustrate proper movement between the OA/OT classifications and PT series.



Reminder: If an employee has a list appointment from OA to PT and subsequently transfer to an OT, the employee **cannot** subsequently transfer to a PT II even though the salaries are the same.

Reason: The PT II is in the direct promotional path of the PT.

Transfer Resources

Resources The table below lists various resources related to voluntary and involuntary resources.

Resource	Section
Law and Regulation http://www.dpa.ca.gov/statesys/dpa/laws.htm http://www.dpa.ca.gov/statesys/dpa/oalrules.htm	GC: 18525.3, 18804, 19050.2-.9, 19253.5, 19786, 19841, 19994.1-.4 SPB Rule: 425-435, 444, 548.95-.96 DPA Rule: 599.714
Memorandum of Understanding (MOU) http://www.dpa.ca.gov/collbarg/contract/bumenu.shtm	Refer to applicable MOU
Personnel Management Policy and Procedures Manual (PMPPM)	315
Responsible Control Agency and Program	SPB, DPA
SPB/DPA Policy Memos http://www.dpa.ca.gov/statesys/dpa/srchfpml.shtm http://www.spb.ca.gov/pinkies.htm	PML: MM88-12, 5/1/88 SPB Pinkie: 4/5/94
Other:	
Training for C&P Analysts http://www.spb.ca.gov/spbtrain/ DPA Layoff Manual, SROA Manual, Compute Class Movement Salaries	SPB-Permissive Reinstatement and Transfers

- Attachments**
- [Discretionary Transfers Chart](#)
 - [Transferability/Salary Determination form](#)
 - [Compute Class Movement Salaries - Step 1-3 sample](#)
 - [Employment Eligibility Verification Request and Worksheet](#)